

## **SIRCON FOR STATES**

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SIRCON for States (SfS) is a Software as a Service (SaaS) application, which provides the Utah Insurance Department an automated, efficient way to manage processes and track critical information on insurance and insurance related companies, agencies and individual agents (producers). It is a Java J2EE application using BEA Weblogic that interfaces with an Oracle back-end database hosted in a Tier 4 data center in Atlanta GA with a Tier 4 backup data center in Dallas TX.

The hours of support required for Sircon for States are listed below.

Application	Support Hours	Days of Week
Sircon for States	Business Hours: 8:00 am to 5:00 pm Mtn	Monday through Friday except State Holidays

### **Product Features and Descriptions**

Feature	Description
Application Service Desk (Tier I and Tier II)	A first line response application service desk is available. Many application support issues can be resolved by first contact resolution. There are issues, such as data fixes, that need extended application support, Sircon For States extended application support is provided by Vertafore in East Lansing MI. In many cases the application service desk requires the skills of an applications specialist, a data analyst and a business analyst; the relatively small Insurance Department IT staff is expected to perform all three roles including the business analyst function. These first line responses are defined as Tier I support however, Tier II support issues are also handled when possible while other Tier II and above issues are sent to Vertafore's Customer Satisfaction Services. See Service Levels and Metrics.

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Custom Reports	UID has custom reports / queries that are embedded in the SfS menuing system that appear very much a part of SfS. Using Actuate, the same report writing/generating application used in SfS, these custom reports work against the production SfS database. The UID also utilizes Actuate, Oracle Reports, and Pentaho to produce ad hoc reporting embedded in SfS. As well, Microsoft Access is used for ad hoc reporting to meet the varied needs of the Department.
ShareWare	Sircon for States supports a shareware concept where software features and modules can be developed by individual states and made accessible to all states (if desired). Costs for shareware developed software and modules are covered by various sources.
Extended Application Service Desk (Tier III & Tier IV)	Extended application service desk is supported in a few instances by DTS. Most SfS extended applications service desk support is provided by Vertafore (Tier II, Tier III and Tier IV type incidents). DTS-Insurance embedded staff will contact and work closely with SfS Customer Satisfaction staff to resolve issues as needed. In some instances UID staff are authorized to initiate cases with Vertafore Customer Satisfaction staff directly using the web based portal. These are cases known to require backend data fixes, business rule modifications, or coding issues addressed. See Service Levels and Metrics Sircon For States PD Exhibit A 4209.02.13a.

## Features Not Included

Feature	Explanation
Extended Application Service Desk (Tier III & Tier IV)	Extended application service desk including DBA data fixes, business rule modifications, or coding issue resolution are not supported in most instances by DTS. Extended applications service desk support and DBA data fixes are provided by Vertafore (most Tier II, Tier III and Tier IV incidents). DTS-Insurance embedded staff will contact and work closely with SfS Customer Satisfaction staff to resolve issues as needed. See Service Levels and Metrics Sircon For States PD Exhibit A 4209.02.13a.

## Rates and Billing

Feature	Description	Base Rate
Application Service Desk (Tier I & Tier II)	DTS staff provides first line application service desk support.	See current approved Enterprise rate sheet.
Application Custom Report Writing	DTS staff provides custom report writing services using Oracle Reports, Actuate or Pentaho tools.	
Applications Ad Hoc Report Writing	DTS staff provides ad hoc report writing services using Microsoft Access tools.	

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Application Support Specialist	DTS staff provides application specific support.	
Applications Data Analyst	DTS staff provides data analysis services as needed.	
Application Business Analyst	DTS staff provides business analyst services as needed.	
Application Programmer Database Support	DTS staff provides replication database hosting and support via the DET Shared Oracle Database platform.	
Oracle DBA Support	DTS staff provides replication database DBA support via the DET Shared Oracle Database platform.	
Replication Database Developer	DTS staff provides replication database development via the DET Shared Oracle Database platform.	
Hosting	Hosting Services	

## Ordering and Provisioning

Potential Sircon For States users, SfS users and/or DTS support personnel make requests for provisioning (login and role assignments) via the DTS Enterprise Service Desk.

Application bugs and desired features or enhancements are also initially reported / requisitioned via the DTS Enterprise Service Desk. These are then discussed, submitted and prioritized in a formal SIRC (State Insurance Regulators Consortium) Priority process. SIRC User groups meet monthly to discuss new requests, prioritize them and assign them to be further evaluated by the user group ultimately to be again prioritized and assigned to a future release.

Items determined to be of a State specific nature or directly involving the Utah Sircon replicated database are worked internally by UID to be prioritized, scoped, funded, developed and/or contracted with Vertafore or DTS staff in the case of Utah specific reports and queries.

## DTS Responsibilities

1. Unit testing of modifications to the application and to fixes of reported bugs and implemented enhancements that accommodate legislative mandated changes, changes in business practices, SIRC prioritized enhancement or Vertafore product development.
2. Ensure appropriate changes are made in the associated applications and interfaces to and from SfS to keep them in sync with changes being made to the SfS application. Vertafore is responsible for applications and interfaces that communicate with the NAIC (National Association of Insurance Commissioners and NIPR (National Insurance Producers Repository). Whereas DTS is primarily responsible for applications and interfaces locally such as developed by DET, Utah Interactive and other 3<sup>rd</sup> parties.

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3. Assist the Insurance Department in defining requirements for enhancements and legislative changes. Raise issues to Insurance when decisions need to be made related to how a change should be implemented from a business perspective.
4. Define technical requirements for enhancement requests and legislative changes.
5. Coordinate back-end database updates to fix bad data causing problems in the application with Vertafore.
6. Provide project management for SfS Releases, conversions or implementations as required.
7. Perform the first round of testing and run regression scripts on SfS UAT iterations / releases.
8. Communicate changes being made to the SfS application to UID and 3<sup>rd</sup> parties that interface with the SfS application. Coordinate testing of the interfaces with these applications. 3<sup>rd</sup> Parties and other DTS State agencies that need to be made aware of changes include: UII (CAS, CLR, IPS), Paymentech (Credit card authorization), Medigap, Adobe eForms, NIPR, etc.
9. Coordinate business rule and configuration table changes making sure any changes that affect any 3<sup>rd</sup> parties are communicated to and coordinated with all parties.
10. Create scripts for database changes required to support approved enhancements to the SfS replication database.
11. Evaluate proposed legislation with respect to impacts on the SfS application. Identify changes in consultation with Vertafore and 3<sup>rd</sup> parties, to the application necessary to implement the legislation and estimate the DTS, Vertafore and others efforts required to make the changes and/or enhancements.
12. Provide first line / first contact resolution application support to fix problems with the SfS application and database, print documents, etc.
13. Maintain the replication databases to ensure modifications are kept in sync with those being made in the main database.
14. Maintain other systems needed to support the SfS application: Systems DTS/UID is responsible for supporting or coordinating the support for including; Sircon CX business rules, Sircon CX UID account administration, NAIC I-Site ID's account and role administration, NIPR business rules administration, NIPR first level application support , etc.
15. Provide Network support to ensure that SfS is up and operating sufficiently during UID Office hours
16. Provide Database support to ensure replication database instances are operating during hours when the application needs to be up.
17. Provide coordination of server hosting support for the various instances of the SfS databases needed to support the production SfS application.
18. Provide management and administration for 3<sup>rd</sup> party applications that support the DTS development and change management processes. This includes version control for software and documentation and Service Desk problem tracking and management.

## Agency Responsibilities

1. Define business requirements for changes being requested in the SfS application.
2. Request required reference table changes to support new transactions, company types or other

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approved changes for SfS.
3. Report bugs discovered in the application in Remedy or to the DTS Enterprise Service Desk. Identify what the user was doing when the bug occurred, any error messages encountered and steps to reproduce the problem.
4. Perform Acceptance Testing of each SfS release, paying particular attention to bug fixes and enhancements that have been assigned to the build / iteration.
5. Run user regression tests as established by Module Documentation on each SfS release as requested and report any errors found to DTS.
6. Cooperate with DTS and Sircon staff as subject matter experts when requested.
7. UID employees will report incidents including the criteria listed below:

<u>Urgency</u>	<u>Definition</u>
• Low	• Routine request
• Medium	• Work impacted
• High	• Work stoppage with work around
• Urgent	• Total work stoppage

## DTS Service Levels and Metrics

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**Sircon for States (SfS)** is required to be up and operational during the hours that the UID offices open for business 8:00 a.m. to 5:00 p.m. Monday thru Friday excluding holidays Mountain time. Public hours are 8:00 a.m. to 5:00 p.m.). The databases are also required to be up for consumer and industry access as well as certain back-end processes that run during business off hours (24 x 7 with scheduled maintenance windows). While Vertafore is responsible for the actual service 24x7, there is a replicated database locally, customized applets, reports, and other third party applications that rely on 24x7 access to the Sircon databases.

**Hours of support coverage for the Insurance Department includes 8:00 AM – 5:00 PM Mtn Monday – Friday.**

**Vertafore is responsible for extended application support and hosting of the service. See Sircon For States PD Exhibit A 4209.02.13a for Vertafore's Support, SLA, System Performance and Operating Objectives.**

In an effort to improve service to our customer agencies, DTS will measure and report on the following enterprise metric goals:

- Application Availability
- Resolution Time
- Initial Response
- First Contact Resolution
- Customer Satisfaction Surveys

### Application Availability:

Application availability measures DTS' efforts to ensure agency key business applications meet the percent of availability goals identified in the agency Service Level Agreements (SLA). DTS will determine application availability based upon the collective measurement of the configuration items (both hardware and software) which are determinant to supporting the agency business services applications. These metrics will be reported each month by agency with a cumulative report showing DTS' efforts over several months and posted to the DTS Metrics web page at <http://dts.utah.gov/metrics/index.php>.

Metric Description	Target
Sircon for States	99.00%

Times exclude those tickets in a "Pending" status waiting a known bug fix.

### Resolution Time:

Resolution time measure DTS' efforts to resolve customer incidents within the time lines set below based upon urgent, high, medium and low priorities. These metrics will be reported each month, by agency, with a cumulative report showing DTS' efforts over several months. These reports will then be posted on the DTS Metrics web page at: <http://dts.utah.gov/metrics/index.php>.

Total Time to Resolution	Target: Percent of Tickets Meeting Priority Timelines
Low priority - 6 Business hours	90%

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Medium priority - 4 Business hours	90%
High priority – 3 Clock hours	90%
Critical priority - 3 Clock hours	90%

### Initial Response:

Initial response measure DTS' efforts to respond to customer incidents within the time lines set below based upon urgent, high, medium and low priorities. These metrics will be reported each month by agency with a cumulative report showing DTS' efforts over several months. These reports will then be posted on the DTS Metrics web page at: <http://dts.utah.gov/metrics/index.php>.

Time to Initial Response	Target: Percent of Tickets Meeting Priority Timelines
Low priority – 1 Business hour	85%
Medium priority – 1 Business hour	85%
High priority – 1 Clock hour	90%
Critical priority – 30 Clock minutes	95%

### First Contact Resolution:

First contact resolution measures DTS' efforts to resolve customer incidents on initial contact with either our help desk or a technical specialist. These metrics will be reported each month, by agency, with a cumulative report showing DTS' efforts over several months. These reports will then be posted on the DTS Metrics web page at <http://dts.utah.gov/metrics/index.php>.

Metric Description	Target
First Contact Resolution	65% of all incidents reported resolved on initial contact

### Customer Satisfaction Surveys and Reporting:

All users/customers whose technical incidents are resolved by DTS staff will be given the opportunity to respond to an on-line survey regarding their level of satisfaction with the support received from DTS. Responding to the survey is voluntary.

The chart below identifies DTS enterprise goals for customer satisfaction. Cumulative monthly reports will be created displaying the customer's level of satisfaction with DTS support. These reports will then be posted on the DTS Metrics web page at <http://dts.utah.gov/metrics/index.php>.

### Customer Satisfaction Target

Metric Description	Target
Average level of satisfaction with resolution efforts	≥ 4.5 on a scale of 0 - 5
Percentage of respondents expressing satisfaction (vs. dissatisfaction)	93% of respondents satisfied



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